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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

<b>Application</b>	10/077,624		
	<b>Filing Date</b>	February 14, 2002	
	<b>First Named</b>	Wenyuan Shi	
	<b>Group Art Unit</b>	1645	
	<b>Examiner Name</b>	Unknown	
<b>Total Number of Pages in This Submission</b>	249	<b>Attorney Docket Number</b>	2101363-991201

## ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> To Convert a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
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<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	2. Return Postcard
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	<b>Remarks</b>	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Nan Wu (Reg. No. 47,360) Gray Cary Ware & Freidenrich LLP 153 Townsend Street, Suite 800 San Francisco, CA 94107
Signature	
Date	3/31/03

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**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
2101363-991201

In Re Application Of: Wenyuan Shi, et al.

Serial No.  
10/077,624

Filing Date  
February 14, 2002

Examiner  
Unknown

Group Art Unit  
1645

Title: FUSION PROTEINS FOR TARGETED DELIVERY OF ANTIMICROBIAL PEPTIDES

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**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
2. a Notice of Allowance under 37 CFR 1.311,

whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

**OR**

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

## TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
2101363-991201

In Re Application Of: Wenyuan Shi, et al.

Serial No.  
10/077,624Filing Date  
February 14, 2002Examiner  
UnknownGroup Art Unit  
1645

Title: FUSION PROTEINS FOR TARGETED DELIVERY OF ANTIMICROBIAL PEPTIDES

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(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

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 <p style="text-align: center;"><b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary)</p>	Docket Number (Optional) <b>2101363-201</b>	Application Number <b>10/077,624</b>
	Applicant(s) <b>Wenyuan Shi, et al.</b>	
	Filing Date <b>February 14, 2002</b>	Group Art Unit <b>1645</b>

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

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**FOREIGN PATENT DOCUMENTS**

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
		WO 99/58141	11-18-99	Europe	A61K	38/16	✓	
		WO 02/22686 A2	03-21-02	Europe	C07K	16/00	✓	

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

		Database DIALOG No. BG195051081. NICOLAS, P., "Peptides as Weapons Against Microorganisms in the Chemical Defense System of Vertebrates." Annual Review of Microbiology, Vol. 49, pp. 277-304 (1995).
		International Search Report mailed January 2, 2003

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.